

04-13-01

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PTO/SB/05 (08-00) (modified)

Approved for use through 9/30/2001, OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

09/834171



# NEW UTILITY PATENT APPLICATION TRANSMITTAL

(only for new nonprovisional applications under  
37 CFR 1.53(b))

Attorney Docket Number	22172-05507
First Named Inventor	Seth I. Merrin et al.
Title	ELECTRONIC SECURITIES MARKETPLACE HAVING INTEGRATION WITH ORDER MANAGEMENT SYSTEMS
Express Mail Label No.	EL550795642US

APPLICATION ELEMENTS		ACCOMPANYING APPLICATION PARTS	
1. <input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate)		7. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))	
2. <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27		8. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)	
3. <input checked="" type="checkbox"/> Specification	Total Pages <input type="text" value="34"/>	9. <input type="checkbox"/> Power of Attorney or Authorization of Agent	
(preferred arrangement set forth below)		10. <input type="checkbox"/> 37 CFR 3.73(b) Statement	
■ Descriptive Title of the Invention		11. <input type="checkbox"/> Preliminary Amendment	
■ Cross Reference(s) to Related Case(s)		12. <input type="checkbox"/> Information Disclosure Statement & PTO-1449	<input type="checkbox"/> Copies of IDS Citation(s)
■ Statement Regarding Fed sponsored R & D		13. <input checked="" type="checkbox"/> Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent	
■ Background of the Invention		14. <input checked="" type="checkbox"/> Return Postcard	
■ Brief Summary of the Invention		15. <input type="checkbox"/>	
■ Brief Description of the Drawing(s)		16. <input type="checkbox"/>	
■ Detailed Description		17. <input type="checkbox"/>	
■ Claim or Claims			
■ Abstract of the Disclosure			
4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113)	Total Sheets <input type="text" value="8"/>		
5. Oath or Declaration	a. <input type="checkbox"/> New Declaration	Total Pages <input type="text" value=""/>	
	<input type="checkbox"/> Executed (original or copy)		
b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 18 completed)	i. <input type="checkbox"/> DELETION OF INVENTOR(S)		
	Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).		
6. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76			

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment or in an Application Data Sheet under 37 CFR 1.76:

Continuation  Divisional  Continuation-in-part (CIP) of prior application No: \_\_\_\_\_

Prior application information: Examiner: \_\_\_\_\_ Group/Art Unit: \_\_\_\_\_

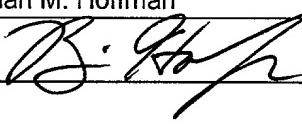
For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuing or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS



Customer Number and Bar Code Label

00758

Name (Print/Type)	Brian M. Hoffman	Registration No. (Attorney/Agent)	39,713
Signature		Date	April 12, 2001

TO/21/40  
S  
PTO**FEE TRANSMITTAL****TOTAL AMOUNT OF PAYMENT**Subtotal (1) + Subtotal (2) + Subtotal (3) = **(\\$) PLEASE DEFER**

U.S. Department of Commerce Patent and Trademark Office		<b>Complete if Known</b>	
Application Number	NEW		
Filing Date	HEREWITH		
First Named Inventor	Seth I. Merrin et al.		
Group Art Unit	UNASSIGNED		
Examiner Name	UNASSIGNED		
Attorney Docket Number	22712-05507		

<b>METHOD OF PAYMENT</b>		<b>FEES CALCULATION (continued)</b>																							
<b>1. The Commissioner is hereby authorized to:</b>		<b>3. ADDITIONAL FEES</b>																							
<input type="checkbox"/> Charge the indicated fees to the below mentioned deposit account.  <input type="checkbox"/> Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account.  <input checked="" type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27		<b>Large Entity</b> Fee Code/Fee 105/\$130 127/\$50 147/\$2,520 115/\$110 116/\$390 117/\$890 118/\$1,390 128/\$1,890 119/\$310 141/\$1,240 142/\$1,240 143/\$440 122/\$130 126/\$180 179/\$710 581/\$40 146/\$710 149/\$710 Other fee (specify): Other fee (specify):	<b>Small Entity</b> Fee Code/Fee 205/\$65 227/\$25 147/\$2,520 215/\$55 216/\$195 217/\$445 218/\$695 228/\$945 219/\$155 241/\$620 242/\$620 243/\$220 122/\$130 126/\$180 279/\$355 581/\$40 246/\$355 249/\$355 For No. of Existing Claims TOTAL 37 minus* 20 or 0 INDEP 5 minus* 3 or 0 [ ] First presentation of multiple dependent claim	<b>Fee Description</b> Surcharge - late filing fee or oath Surcharge-late provisional filing fee or cover sheet For filing a request for reexamination Extension for response within first month <sup>†</sup> Extension for response within second month <sup>†</sup> Extension for response within third month <sup>†</sup> Extension for response within fourth month <sup>†</sup> Extension for response within fifth month <sup>†</sup> Notice of Appeal Petition to revive unintentionally abandoned application Utility Issue Fee (Or Reissue) Design Issue Fee Petitions to the Commissioner Submission of Information Disclosure Statement Request for Continued Examination (RCE) Recording each patent assignment per property (times number of properties) Filing a submission after final rejection (37 CFR 1.129(a)) For each additional invention to be examined (37 CFR 1.129(b))																					
<b>2. CLAIMS</b>		<b>SUBTOTAL (3) (\$ 0)</b>																							
<b>Large Entity</b> Fee Code/Fee 103/\$18 102/\$80 104/\$270 109/\$80 110/\$18		<b>Fee Description</b> Claims in excess of 20 Independent claims in excess of 3 Multiple dependent claim Reissue independent claims over original patent Reissue claims in excess of 20 and over original patent																							
		<table border="1"> <thead> <tr> <th rowspan="2">(Col. 1)</th> <th rowspan="2">(Col. 2)</th> <th rowspan="2">(Col. 3)</th> <th colspan="2">Fee</th> <th rowspan="2">Fee Due</th> </tr> <tr> <th>For</th> <th>No. of Existing Claims</th> <th>Highest No. Previously Paid For</th> <th>Extra**</th> <th>Fee</th> </tr> </thead> <tbody> <tr> <td>TOTAL 37</td> <td>minus* 20 or 0</td> <td>= 17</td> <td>x 9</td> <td>= 153</td> </tr> <tr> <td>INDEP 5</td> <td>minus* 3 or 0</td> <td>= 2</td> <td>x 40</td> <td>= 80</td> </tr> </tbody> </table>			(Col. 1)	(Col. 2)	(Col. 3)	Fee		Fee Due	For	No. of Existing Claims	Highest No. Previously Paid For	Extra**	Fee	TOTAL 37	minus* 20 or 0	= 17	x 9	= 153	INDEP 5	minus* 3 or 0	= 2	x 40	= 80
(Col. 1)	(Col. 2)	(Col. 3)	Fee					Fee Due																	
			For	No. of Existing Claims	Highest No. Previously Paid For	Extra**	Fee																		
TOTAL 37	minus* 20 or 0	= 17	x 9	= 153																					
INDEP 5	minus* 3 or 0	= 2	x 40	= 80																					
		* Subtract the greater number of Col. 2 ** If the difference between Col. 1 and Col. 2 is less than zero, then enter "0" in Col. 3																							
		<b>SUBTOTAL (2) (\$ 233)</b>																							

<b>SUBMITTED BY</b>		<b>Complete (if applicable)</b>	
Typed or Printed Name	Brian M. Hoffman	Reg. Number	39,713
Signature		Date	April 12, 2001

<sup>†</sup> Request for Extension of Time per 37 CFR 1.136 (a)(3) made hereby.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number

**REQUEST AND CERTIFICATION  
UNDER  
35 U.S.C. 122(b)(2)(B)(i)**

First Named Inventor **Seth I Merrin et al.**Title **ELECTRONIC SECURITIES MARKETPLACE HAVING  
INTEGRATION WITH ORDER MANAGEMENT SYSTEMS**Atty. Docket Number **22172-05507**

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

April 12, 2001

Date

Signature

Brian M. Hoffman, Reg. No. 39,713

Typed or printed name/Registration Number

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement: This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.